

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

1. Type of Submission:

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

2. Type of Application:

- ☒ New  
☐ Continuation  
☐ Revision

If Revision, select appropriate letter(s)

Other (specify):

3. Date Received

07/01/2017

4. Applicant Identifier:

5a. Fed Entity Identifier:

5b. Federal Award Identifier:

DE-EE0006190

**State Use Only:**

6. Date Received by State:

7. State Application Identifier:

**8. APPLICANT INFORMATION:**

a. Legal Name: Virginia, Commonwealth of

b. Employer/Taxpayer Identification Number (EIN/TIN):

541083047

c. Organizational DUNS:

809391881

**d. Address:**

Street 1: 600 East Main St., Ste. 300

Street 2:

City: Richmond

County: RICHMOND City

State: VA

Province:

Country: U.S.A.

Zip / Postal Code: 232192430

**e. Organizational Unit:**

Department Name:

Dept. of Housing & Com Dev

Division Name:

Division of Housing

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix: First Name: Nancy

Middle Name:

Last Name: Palmer

Suffix:

Title: Housing Programs Mgr.

Organizational Affiliation:

Telephone Number: (804)371-7102

Fax Number:

Email: nancy.palmer@dhcd.virginia.gov

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

**9. Type of Applicant:**

A State Government

**10. Name of Federal Agency:**

U. S. Department of Energy

**11. Catalog of Federal Domestic Assistance Number:**

81.042

CFDA Title:

Weatherization Assistance Program

**12. Funding Opportunity Number:**

DE-WAP-0002017

Title:

2017 Weatherization Assistance Program Funding

**13. Competition Identification Number:**

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

Commonwealth of Virginia

**15. Descriptive Title of Applicant's Project:**

Weatherization Assistance Program State Plan

**APPLICATION FOR FEDERAL ASSISTANCE SF-424**

Version 02

**16. Congressional District Of:**

a. Applicant: Virginia Congressional District 03

b. Program/Project: VA-Statewide

**Attach an additional list of Program/Project Congressional Districts if needed:**

**17. Proposed Project:**

a. Start Date: 07/01/2017

b. End Date: 06/30/2018

**18. Estimated Funding (\$):**

a. Federal	3,761,099.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	3,761,099.00

**19. Is Application subject to Review By State Under Executive Order 12372 Process?:**

- ☐ a. This application was made available to the State under the Executive Order 12372 Process for review on:
- ☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☒ c. Program is not covered by E.O. 12372

**20. Is the applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation)**

No

**21. By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code Title 218, Section 1001)**

☒ I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix: Mr First Name: Willie

Middle Name:

Last Name: Fobbs

Suffix:

Title:

Telephone Number: 8043717133

Fax Number:

Email: willie.fobbs@dhcd.virginia.gov

Signature of Authorized Representative: Signed Electronically

Date Signed:

Authorized for Local Reproduction

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0006190		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address Virginia, Commonwealth of 600 East Main St., Ste. 300 Richmond, VA 232192430		4. Program/Project Start Date 07/01/2017	5. Completion Date 06/30/2018

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Federal	81.042	\$ 0.00		\$ 3,761,099.00		\$ 3,761,099.00
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 3,761,099.00	\$ 0.00	\$ 3,761,099.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTR ATION	(2) SUBGRANTE E ADMINISTR	(3) GRANTEE T&TA	(4) SUBGRANT EE T&TA	
a. Personnel	\$ 87,080.00	\$ 0.00	\$ 61,600.00	\$ 0.00	\$ 148,680.00
b. Benefits	\$ 25,602.00	\$ 0.00	\$ 18,110.00	\$ 0.00	\$ 43,712.00
c. Travel	\$ 0.00	\$ 0.00	\$ 103,126.00	\$ 0.00	\$ 103,126.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contract	\$ 0.00	\$ 188,055.00	\$ 377,920.00	\$ 0.00	\$ 3,336,890.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
i. Total Direct Charges	\$ 112,682.00	\$ 188,055.00	\$ 560,756.00	\$ 0.00	\$ 3,632,408.00
j. Indirect	\$ 75,373.00	\$ 0.00	\$ 53,318.00	\$ 0.00	\$ 128,691.00
k. Totals	\$ 188,055.00	\$ 188,055.00	\$ 614,074.00	\$ 0.00	\$ 3,761,099.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. EE0006190		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address Virginia, Commonwealth of 600 East Main St., Ste. 300 Richmond, VA 232192430		4. Program/Project Start Date 07/01/2017	5. Completion Date 06/30/2018

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 3,761,099.00	\$ 0.00	\$ 3,761,099.00

SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity				Total (5)	
	(1) PROGRAM OPERATION S	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4) FINANCIAL AUDITS		
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 148,680.00	
b. Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 43,712.00	
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 103,126.00	
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
f. Contract	\$ 2,206,335.00	\$ 472,054.00	\$ 69,918.00	\$ 22,608.00	\$ 3,336,890.00	
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	
i. Total Direct Charges	\$ 2,206,335.00	\$ 472,054.00	\$ 69,918.00	\$ 22,608.00	\$ 3,632,408.00	
j. Indirect	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 128,691.00	
k. Totals	\$ 2,206,335.00	\$ 472,054.00	\$ 69,918.00	\$ 22,608.00	\$ 3,761,099.00	
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	

# U.S. DEPARTMENT OF ENERGY



## BUDGET JUSTIFICATION FOR FORMULA GRANTS

Applicant: Virginia, Commonwealth of  
Award number: EE0006190

Budget period: 07/01/2017 - 06/30/2018

### 1. **PERSONNEL** - Prime Applicant only (all other participant costs are listed in 6 below and form SF-242A, Section B. Line 6.f. Contracts and Sub-Grants).

Positions to be supported under the proposed award and brief description of the duties of professionals:

Position	Description of Duties of Professionals
Technical Monitor	Completes on-site monitoring of subgrantee for compliance with the Installation Standards and prepares reports of these monitoring visits. Participates in the assessment of training needs related to fieldwork and programmatic requirements. Coordinates and completes on-site, regional and statewide training for subgrantee field staff as needed.
Program Administrator	Responsible for the day-to-day program implementation activities and serves as the principle point of contact for programmatic policy issues. Provide training & technical assistance visits to subgrantees.
Program Administrator	Responsible for the day-to-day program implementation activities and serves as the principle point of contact for programmatic database training, tracking and reporting.
Program Assistant	Assist Program staff
Associate Director of Housing	Manages the overall operation of the Weatherization Assistance Program.
Program Manager	Manages the day to day operations of the weatherization assistance program.
Program Analyst	Processes fiscal documents and monitoring financial transactions. Provide fiscal training & technical assistance to subgrantees.

Direct Personnel Compensation:

Position	Salary/Rate	Time	Direct Pay
Technical Monitor	\$62,000.00	80.0000 % FT	\$49,600.00
Program Administrator	\$60,000.00	50.0000 % FT	\$30,000.00
Program Administrator	\$58,000.00	50.0000 % FT	\$29,000.00
Program Assistant	\$20,000.00	20.0000 % FT	\$4,000.00
Associate Director of Housing	\$88,000.00	6.5118 % FT	\$5,730.38
Program Manager	\$70,000.00	8.0000 % FT	\$5,600.00
Program Analyst	\$55,000.00	45.0000 % FT	\$24,750.00
		Direct Pay Total	\$148,680.38

### 2. **FRINGE BENEFITS**

- Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and attach a copy of the rate agreement to the application.
- If a. above does not apply, please use this box (or an attachment) to further explain how your total fringe benefits costs were calculated. Your calculations should identify all rates used, along with the base they were applied to (and how the base was derived), and a total for each (along with grand total). If there is an established computation methodology approved for state-wide use, please provide a copy. Also, please fill out the table below with the Fringe Benefits Calculations.

29.4% - Fringe includes retirement plans, group life insurance, state paid portion of health insurance, social security, retiree health insurance credit, and long term disability insurance.

Employer contribution for Health Insurance - 11.5%  
 Retirement - 9.00%  
 Social Security- 6.20%  
 Group Life - 1.20%  
 Retiree Health Insurance credit - 1.00%  
 VSDP & Long Term Disability Ins - 0.5%

#### Fringe Benefits Calculations

Position	Direct Pay	Rate	Benefits
Technical Monitor	\$49,600.00	29.4000 %	\$14,582.40
Program Administrator	\$30,000.00	29.4000 %	\$8,820.00
Program Administrator	\$29,000.00	29.4000 %	\$8,526.00
Program Assistant	\$4,000.00	29.4000 %	\$1,176.00
Associate Director of Housing	\$5,730.38	29.4000 %	\$1,684.73
Program Manager	\$5,600.00	29.4000 %	\$1,646.40
Program Analyst	\$24,750.00	29.4000 %	\$7,276.50
Fringe Benefits Total			\$43,712.03

### 3. TRAVEL

- a. Please provide the purpose of travel, such as professional conference(s), DOE sponsored meeting(s), project management meeting, etc. If there is any foreign travel, please identify.

Purpose of Trip	Number of Trips	Cost Per Trip	Total
Energy Outwest Conference - Technical Monitoring Training.	1	\$2,300.00	\$2,300.00
Training conference attendance - various trainings and conferences attended by 6 different staff members that work directly for the Weatherization Assistance Program.	11	\$2,435.00	\$26,785.00
NASCSP Annual Conference.	6	\$2,500.00	\$15,000.00
NASCSP Mid Winter Conference.	3	\$2,135.00	\$6,405.00
NASCSP Board Meeting 2 - 2 Staff are members of the board.	2	\$700.00	\$1,400.00
Peer Exchange - Conference held by network organization which DHCD is invited to participate.	7	\$510.00	\$3,570.00
ACI Conference- Technical Monitoring Training.	1	\$2,300.00	\$2,300.00
NASCSP Board Meeting 1 - 2 Staff are members of the board.	2	\$700.00	\$1,400.00
Administrative/Financial monitoring of subgrantees that includes meals, mileage and lodging for 2 monitors at 19 agencies. Technical monitoring includes meals, mileage, & lodging for 1 technical monitor at 19 agencies. 3 Follow up trips have been added for any unexpected return trips that may need to occur.	61	\$606.00	\$36,966.00
Interchange - Conference held by DHCD to provide T/TA.	7	\$1,000.00	\$7,000.00
Travel Total			\$103,126.00

- b. Please provide the basis for estimating the costs, such as past trips, current quotations, Federal Travel Regulations, etc. All listed travel must be necessary for the performance of the award objectives.

All cost are estimated cost based on past attendance and participation. Please see attachment in SF-424 "Travel Breakdown" for a more detailed breakdown of cost.

**4. EQUIPMENT** - Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year.

- a. List all proposed equipment below and briefly justify its need as it applies to the objectives of the award.

Equipment	Unit Cost	Number	Total Cost	Justification of Need
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- b. Please provide a basis of cost such as vendor quotes, catalog prices, prior invoices, etc. and justify need. If the Equipment is being proposed as Cost Share and was previously acquired, please provide the source and value of its contribution to the project and logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown. Also, please indicate whether the Equipment is being used for other projects or is 100% dedicated to the DOE project.

**5. SUPPLIES** - Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance.

- a. List all proposed supplies below, the estimated cost, and briefly justify the need for the supplies as they apply to the objectives of the award. Note that all direct costs, including Supply items, may not be duplicative of supply costs included in the indirect pool that is the basis of the indirect rate applied for this project.

General Category	Cost	Justification of Need
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- b. Please provide a basis of cost for each item listed above and justify need. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

**6. CONTRACTS AND SUBGRANTS** - Provide the following information for New proposed subrecipients and subcontractors. For ongoing subcontractors and subrecipients, this information does not have to be restated here, if it is provided elsewhere in the application; under Name of Proposed Sub, indicate purpose of work and where additional information can be found (i.e. weatherization subgrants, Annual File section II.3).

Name of Proposed Sub	Total Cost	Basis of Cost*
Weatherization Sub-grantees Health and Safety Funds	\$472,053.60	15% of avg job cost.
Hancock Software - Database administration	\$100,000.04	\$100,000.00 is for FY 16 competitive procurement includes maintenance and hosting fees for WX software.
Weatherization Sub-grantees Liability Insurance Funds	\$69,917.70	Based on actual budgets received from 20 agencies for FY 15.
Weatherization Sub-grantee Administrative Funds	\$188,054.95	5% or more of the total allowable administrative funds is passed down to the sub-grantees based on budget requests.
Weatherization Subgrants, Annual File section	\$2,206,335.11	Based on formula allocation for FY 16. \$2,206,335.11 is the agencies program operations.
Energy Solutions Research Weatherization Training Center	\$277,920.91	State wide training for Virginia Weatherization Sub-grantees.
Weatherization Sub-grantee Financial Audit Funds	\$22,607.69	Total cost based on actual budget requests received from 20 agencies.
Contracts and Subgrants Total	\$3,336,890.00	



\*For example, Competitive, Historical, Quote, Catalog

**7. OTHER DIRECT COSTS** - Other direct costs are direct cost items required for the project which do not fit clearly into other categories. These direct costs may not be duplicative of costs included in the indirect pool that is the basis of the indirect rate applied for this project. Examples are: conference fees, subscription costs, printing costs, etc.

- a. Please provide a General Description, Cost and Justification of Need.

General Description	Cost	Justification of Need
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- b. Please provide a basis of cost for each item listed above. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

All costs included in Other Direct Costs are properly segregated from indirect costs to ensure there are not duplicate charges.

All costs proposed are only being used in support of the WAP program.

**8. INDIRECT COSTS**

- a. Are the indirect cost rates approved by a Federal agency? If so, identify the agency and date of latest rate agreement or audit and provide a copy of the rate agreement.

DHCD is still waiting on final approvals from HUD for our 2015 and 2016 IDC proposals, so we are still using the approved provisional rates. Attached is our latest IDC proposal (2016) that was submitted to HUD on 12/20/16, along with our approved provisional rate.

- b. If the above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations separately.

The name and phone number of the individual responsible for negotiating the State's indirect cost rates.

Name: Danielle Robertson

Phone Number: 8043717021

Indirect costs calculations:

Indirect Cost Account	Direct Total	Indirect Rate	Total Indirect
Benefits	\$43,712.00	66.8900 %	\$29,238.96
Personnel	\$148,680.00	66.8900 %	\$99,452.05
		Indirect Costs Total	\$128,691.01

**U.S. Department of Energy  
WEATHERIZATION ASSISTANCE PROGRAM (WAP)  
WEATHERIZATION ANNUAL FILE WORKSHEET**

**(Grant Number: EE0006190, State: VA, Program Year: 2017)**

**IV.1 Subgrantees**

<b>Subgrantee (City)</b>	<b>Planned Funds/Units</b>
Appalachian Community Action Agency (Gate City)	\$101,936.14 9
Bay Aging (Urbanna)	\$101,363.86 11
Central VA AAA (Lynchburg)	\$83,650.29 9
Clinch Valley Community Action (North Tazewell)	\$58,244.71 6
Community Housing Partners Corp. (Christiansburg)	\$858,310.55 91
Crater District AAA (Petersburg)	\$110,025.45 12
ElderHomes Corporation (Richmond)	\$345,215.04 33
Lynchburg Community Action Group (Lynchburg)	\$64,205.94 6
Mountain Community Action Program (Marion)	\$65,260.51 7
PEOPLE, Inc. (Abingdon)	\$69,953.79 6
Pittsylvania County Community Action Agency (Chatham)	\$109,877.00 11
Rappahannock Area Agency on Aging (Fredericksburg)	\$93,978.21 10
Rooftop of Virginia Community Action Program (Galax)	\$53,115.10 6
Southeastern Tidewater Opportunity Project (Norfolk)	\$212,251.24 22
Support to Eliminate Poverty (Rocky Mount)	\$61,981.25 7
Telamon Corporation (Raleigh)	\$97,263.72 10
Total Action Against Poverty (Roanoke)	\$173,929.25 19
Tri-County Community Action (South Boston)	\$64,485.21 7
Williamsburg-James City County Community Action Agency (Williamsburg)	\$233,921.80 24
<b>Total:</b>	<b>\$2,958,969.06</b> <b>306</b>

**IV.2 WAP Production Schedule**

<b>Weatherization Plans</b>	<b>Units</b>
Total Units (excluding reweatherized)	306
Rewatherized Units	0
Note: Planned units by quarter or category are no longer required, no information required for persons.	

**U.S. Department of Energy**  
**WEATHERIZATION ASSISTANCE PROGRAM (WAP)**  
**WEATHERIZATION ANNUAL FILE WORKSHEET**

(Grant Number: EE0006190, State: VA, Program Year: 2017)

Average Unit Costs, Units subject to DOE Project Rules		
VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)		
A	Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B	Total Units Weatherized	306
C	Total Units Reweatherized	00
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)	306
E	Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)		
F	Total Funds for Program Operations	\$2,206,335.00
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)	306
H	Average Program Operations Costs per Unit (F divided by G)	\$7,210.25
I	Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J	Total Average Cost per Dwelling (H plus I)	\$7,210.25

**IV.3 Energy Savings**

Method used to calculate savings: <input checked="" type="checkbox"/> WAP algorithm <input type="checkbox"/> Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	306	29.3	8966
Prior Year Estimate	311	29.3	9112
Prior Year Actual	479	29.3	14035

**Method used to calculate savings description:**

Energy savings is calculated by subtracting the amounts for administration, T/TA, Health and Safety, Financial Audits and leverage funds from the total amount available. That new amount is then divided by the current allowable average cost per units to estimate the number of homes to be weatherized. The estimated number of homes to be weatherized is then multiplied by the allowable MBtu established by DOE of 30.5 to estimate the energy savings. Estimated energy savings: 12,444.00 (MBtu)

**IV.4 DOE-Funded Leveraging Activities**

No leveraging funds are planned for this year.
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**IV.5 Policy Advisory Council Members**

☐ Check if an existing state council or commission serves in this category and add name below

Andrea Gregg	Type of organization: Unit of State Government Contact Name: Andrea Gregg Phone: (804)726-7368 Email: <a href="mailto:Andrea.gregg@dss.virginia.gov">Andrea.gregg@dss.virginia.gov</a>
Billy Weitzenfeld	Type of organization: Non-profit (not a financial institution) Contact Name: Billy Weitzenfeld Phone: 5407452838 Email: <a href="mailto:aecp@swva.net">aecp@swva.net</a>
Jim Schuyler	Type of organization: Non-profit (not a financial institution) Contact Name: Jim Schuyler Phone: 8046440417 Email: <a href="mailto:jschuyler@vacap.org">jschuyler@vacap.org</a>
Robin Jones	Type of organization: Unit of State Government Contact Name: Robin Jones Phone: (804)692-3224 Email: <a href="mailto:Robin.jones@dmme.virginia.gov">Robin.jones@dmme.virginia.gov</a>

**U.S. Department of Energy**  
**WEATHERIZATION ASSISTANCE PROGRAM (WAP)**  
**WEATHERIZATION ANNUAL FILE WORKSHEET**

**(Grant Number: EE0006190, State: VA, Program Year: 2017)**

Zachary Bacon	Type of organization: Utility Contact Name: Phone: 8009564237 Email: <a href="mailto:zlbacon@aep.com">zlbacon@aep.com</a>
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**IV.6 State Plan Hearings (Note: attach notes and transcripts to the SF-424)**

Date Held	Newspapers that publicized the hearings and the dates the notice ran
04/24/2017	Bristol Herald Courier: 4/12/2017 - 4/14/2017; Charlottesville Daily Progress: Danville Register: 4/12/2017- 4/18/2017; Roanoke Times; Richmond Times Dispatch 4/12/2017 - 4/18/2017; Virginian Pilot

**IV.7 Miscellaneous**

**Principal Investigator**

Willie Fobbs  
600 East Main Street  
Ste 300  
Richmond, VA 23219  
804-371-7133 Phone  
[willie.fobbs@dhcd.virginia.gov](mailto:willie.fobbs@dhcd.virginia.gov)

**Business Officer**

Nancy Palmer  
600 East Main Street  
Ste 300  
Richmond, VA 23219  
804-371-7102 Phone  
[nancy.palmer@dhcd.virginia.gov](mailto:nancy.palmer@dhcd.virginia.gov)

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

State: VA Grant Number: EE0006190 Program Year: 2017

Name:	<b>Appalachian Community Action Agency</b>	Contact:	Lindley Dupree	
		DUNS:	154726103	
Address:	175 Military Lane PO Box 279 Gate City, VA 24251-0190	Phone:	(276) 452-2441	
		Fax:	(276) 452-2472	
		Email:	ldupree@apppcaa.org	
Counties served:	LEE County WISE County DICKENSON County SCOTT County NORTON City	Tentative allocation:	\$ 101,936.14	Congressional districts served: <u>CD</u>
		Planned units:	9	VA-09
		Type of organization:	Non-profit organization	
		Source of labor:	Agency	
Name:	<b>Bay Aging</b>	Contact:	Kathy Vesley-Massey	
		DUNS:	101712602	
Address:	PO Box 610 N/A Urbanna, VA 23175-0610	Phone:	(804) 758-2386	
		Fax:	() -	
		Email:	kvesley@bayaging.org	
Counties served:	ESSEX County WESTMORELAND County NORTHUMBERLAND Co MATHEWS County MIDDLESEX County RICHMOND County KING AND QUEEN Count KING WILLIAM County LANCASTER County GLOUCESTER County	Tentative allocation:	\$ 101,363.86	Congressional districts served: <u>CD</u>
		Planned units:	11	VA-01
		Type of organization:	Non-profit organization	
		Source of labor:	Agency	
Name:	<b>Central VA AAA</b>	Contact:	Deborah Silverman	
		DUNS:	932767148	
Address:	501 12th Street P.O. Box 1390 Lynchburg, VA 24504-2527	Phone:	(434) 385-9070	
		Fax:	(434) 385-9209	
		Email:	dsilverman@cvc1.org	
Counties served:	APPOMATTOX County AMHERST County BEDFORD County	Tentative allocation:	\$ 83,650.29	Congressional districts served: <u>CD</u>
		Planned units:	9	VA-05
		Type of organization:	Non-profit organization	VA-06
		Source of labor:	Contractors	
Name:	<b>Clinch Valley Community Action</b>	Contact:	Doug Sheets	
		DUNS:	849388624	
Address:	P.O. Box 188 North Tazewell, VA 24630-0188	Phone:	(276) 988-5583	
		Fax:	(276) 988-4041	
		Email:	dsheets@clinchvalleycaa.org	

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

State: VA Grant Number: EE0006190 Program Year: 2017

Counties served:	TAZEWELL County RUSSELL County	Tentative allocation: \$ 58,244.71 Planned units: 6 Type of organization: Non-profit organization Source of labor: Agency	Congressional districts served:	<u>CD</u> VA-09
Name:	<b>Community Housing Partners Corp.</b>	Contact: Mr. Janaka Casper DUNS: 097428841	Address: 448 Depot St N/A Christiansburg, VA 24073	Phone: (540) 382-2002 Fax: (540) 381-8270 Email: jcasper@chpc2.org
Counties served:	ORANGE County PAGE County CLARKE County RADFORD City CHARLOTTESVILLE City FALLS CHURCH City FLOYD County ROCKINGHAM County AUGUSTA County HARRISONBURG City MANASSAS PARK City STAUNTON City WINCHESTER City MADISON County WAYNESBORO City FLUVANNA County FAIRFAX County GILES County ALBEMARLE County GREENE County CULPEPER County FREDERICK County MONTGOMERY County LOUDOUN County ARLINGTON County SHENANDOAH County ALEXANDRIA City PRINCE WILLIAM County FAIRFAX City NELSON County RAPPAHANNOCK County HIGHLAND County PULASKI County MANASSAS City FAUQUIER County LOUISA County WARREN County	Tentative allocation: \$ 858,310.55 Planned units: 91 Type of organization: Non-profit organization	Congressional districts served:	<u>CD</u> VA-11 VA-05 VA-07 VA-01 VA-10 VA-06 VA-09 VA-08
Source of labor: Agency and Contractors				

DOE F 540.5

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**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 02/29/2020

State: VA Grant Number: EE0006190 Program Year: 2017

Name:	<b>Crater District AAA</b>	Contact:	Harold Sayles
		DUNS:	095931457
Address:	23 Seyler Drive Petersburg, VA 23805-0000	Phone:	(804) 732-7020
		Fax:	(804) -
		Email:	hsayles@cdaaa.org
Counties served:	SUSSEX County COLONIAL HEIGHTS City PETERSBURG City HOPEWELL City PRINCE GEORGE County SURREY County GREENSVILLE County EMPORIA City DINWIDDIE County	Tentative allocation:	\$ 110,025.45
		Planned units:	12
		Type of organization:	Unit of local government
		Congressional districts served:	CD VA-03 VA-04
		Source of labor:	Agency and Contractors

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Name:	<b>ElderHomes Corporation</b>	Contact:	Lee Householder
		DUNS:	801695842
Address:	88 Carnation Street Richmond, VA 23225-6811	Phone:	(804) 233-2827
		Fax:	(804) -
		Email:	lee.householder@projecthomes.org
Counties served:	POWHATAN County RICHMOND City CHESTERFIELD County GOOCHLAND County AMELIA County PRINCE EDWARD County HENRICO County BUCKINGHAM County NEW KENT County CHARLES CITY County CUMBERLAND County HANOVER County	Tentative allocation:	\$ 345,215.04
		Planned units:	33
		Type of organization:	Non-profit organization
		Congressional districts served:	CD VA-04 VA-05 VA-07 VA-03
		Source of labor:	Agency and Contractors

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Name:	<b>Lynchburg Community Action Group</b>	Contact:	Dr. James Mundy
		DUNS:	087345906
Address:	1010 Main Street 2nd Floor Lynchburg, VA 24504	Phone:	(804) 846-2778
		Fax:	(804) 845-1547
		Email:	jmundy@lyncag.org
Counties served:	LYNCHBURG City CAMPBELL County	Tentative allocation:	\$ 64,205.94
		Planned units:	6
		Type of organization:	Non-profit organization
		Congressional districts served:	CD VA-05
		Source of labor:	Agency

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

State: VA Grant Number: EE0006190 Program Year: 2017

Name:	<b>Mountain Community Action Program</b>	Contact:	Mike Walker	
		DUNS:	123578247	
Address:	PO Drawer 1008	Phone:	(276) -	
	N/A	Fax:	(276) -	
	Marion, VA 24354-1008	Email:	mwalker@mountaincap.org	
Counties served:	BLAND County	Tentative allocation:	\$ 65,260.51	Congressional districts served: <u>CD</u>
	SMYTH County	Planned units:	7	VA-09
	WYTHE County	Type of organization:	Non-profit organization	
		Source of labor:	Agency	
Name:	<b>PEOPLE, Inc.</b>	Contact:	Rob G. Goldsmith	
		DUNS:	030683395	
Address:	1173 West Main Street	Phone:	(276) 623-9000	
	N/A	Fax:	(276) 628-2931	
	Abingdon, VA 24210-4703	Email:	rgoldsmith@peopleinc.net	
Counties served:	BUCKINGHAM County	Tentative allocation:	\$ 69,953.79	Congressional districts served: <u>CD</u>
	BRISTOL City	Planned units:	6	VA-09
	WASHINGTON County	Type of organization:	Non-profit organization	
		Source of labor:	Agency	
Name:	<b>Pittsylvania County Community Action Agency</b>	Contact:	Everlena B. Ross	
		DUNS:	931259225	
Address:	PO Box 1119	Phone:	(434) 432-8250	
	348 North Main Street	Fax:	(804) 432-3729	
	Chatham, VA 24531--4406	Email:	eross@pccainc.org	
Counties served:	HENRY County	Tentative allocation:	\$ 109,877.00	Congressional districts served: <u>CD</u>
	MARTINSVILLE City	Planned units:	11	VA-05
	DANVILLE City	Type of organization:	Non-profit organization	VA-09
	PITTSYLVANIA County	Source of labor:	Contractors	
Name:	<b>Rappahannock Area Agency on Aging</b>	Contact:	Leigh Wade	
		DUNS:	096694328	
Address:	460 Lendall Lane	Phone:	(540) 371-3375	
	Fredericksburg, VA 22405	Fax:	(540) 371-3384	
		Email:	lwade@raaa16.org	
Counties served:	FREDERICKSBURG City	Tentative allocation:	\$ 93,978.21	Congressional districts served: <u>CD</u>
	CAROLINE County	Planned units:	10	VA-07
	STAFFORD County	Type of organization:	Non-profit organization	VA-01
	KING GEORGE County	Source of labor:	Contractors	
	SPOTSYLVANIA County			



**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

State: VA Grant Number: EE0006190 Program Year: 2017

Name:	<b>Rooftop of Virginia Community Action Program</b>	Contact:	Chris Thompson	
		DUNS:	010061216	
Address:	PO Box 853 206 North Main Street Galax, VA 24333-2910	Phone:	(276) -	
		Fax:	(276) -	
		Email:	cthompson@rooftopofvirginia.com	
Counties served:	CARROLL County GALAX City GRAYSON County	Tentative allocation:	\$ 53,115.10	Congressional districts served: <u>CD</u>
		Planned units:	6	VA-09
		Type of organization:	Non-profit organization	
		Source of labor:	Agency	
Name:	<b>Southeastern Tidewater Opportunity Project</b>	Contact:	Regina Lawrence	
		DUNS:	077946051	
Address:	2552 Alameda Avenue Norfolk, VA 23513-2443	Phone:	(757) 858-1397	
		Fax:	(757) 858-1387	
		Email:	lawrence@stopinc.org	
Counties served:	VIRGINIA BEACH City NORFOLK City CHESAPEAKE City	Tentative allocation:	\$ 212,251.24	Congressional districts served: <u>CD</u>
		Planned units:	22	VA-03
		Type of organization:	Non-profit organization	VA-04
		Source of labor:	Agency	
Name:	<b>Support to Eliminate Poverty</b>	Contact:	Marc Crouse	
		DUNS:	144197746	
Address:	200 Dent Street N/A Rocky Mount, VA 24151-0000	Phone:	(540) 483-51423004	
		Fax:	(540) -	
		Email:	marc.crouse@stepincva.com	
Counties served:	PATRICK County FRANKLIN County	Tentative allocation:	\$ 61,981.25	Congressional districts served: <u>CD</u>
		Planned units:	7	VA-09
		Type of organization:	Non-profit organization	VA-05
		Source of labor:	Agency	
Name:	<b>Telamon Corporation</b>	Contact:	Suzanne Orozco	
		DUNS:	075579052	
Address:	5560 Munford Road Suite 201 Raleigh, NC 27612-2621	Phone:	(804) 355-4676	
		Fax:	(804) 355-6407	
		Email:	sorozco@telamon.org	
Counties served:	LUNENBURG County MECKLENBURG County NOTTOWAY County BRUNSWICK County	Tentative allocation:	\$ 97,263.72	Congressional districts served: <u>CD</u>
		Planned units:	10	VA-05
		Type of organization:	Non-profit organization	VA-04
		Source of labor:	Agency	

DOE F 540.5

U.S. Department of Energy

OMB Control No: 1910-5127

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**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 02/29/2020

State: VA Grant Number: EE0006190 Program Year: 2017

Name:	Total Action Against Poverty		Contact:	Annette Lewis	
			DUNS:	066005943	
Address:	145 Campbell Ave SW P.O. Box 2868 Roanoke, VA 24001-2868		Phone:	(540) 345-6781	
			Fax:	(540) 777-4833	
			Email:	annette.lewis@tapintohope.org	
Counties served:	ALLEGHANY County	Tentative allocation:	\$ 173,929.25	Congressional	CD
	SALEM City	Planned units:	19	districts served:	VA-06
	CRAIG County	Type of organization:	Non-profit organization		VA-09
	COVINGTON City				VA-05
	BATH County				
	ROANOKE County				
	CLIFTON FORGE City				
	LEXINGTON City				
	BOTETOURT County				
	ROCKBRIDGE County				
	BUENA VISTA City				
	ROANOKE City				
	Source of labor: Agency				

Name:	Tri-County Community Action		Contact:	Mr. William Coleman	
			DUNS:	170935357	
Address:	P.O. Box 799 1176 Huell Mathews Hwy. South Boston, VA 24592-0000		Phone:	(434) 575-7916	
			Fax:	(434) 575-6060	
			Email:	wcoleman@tricityca.com	
Counties served:	HALIFAX County	Tentative allocation:	\$ 64,485.21	Congressional	CD
	CHARLOTTE County	Planned units:	7	districts served:	VA-05
		Type of organization:	Non-profit organization		
	Source of labor: Agency				

Name:	Williamsburg-James City County Community Action Agency		Contact:	Reba Bolden	
			DUNS:	802775072	
Address:	312 Waller Mill Road, Suite 405 N/A Williamsburg, VA 23187-3000		Phone:	(757) 229-9389	
			Fax:	(757) 229-9336	
			Email:	rbolden@wjccactionagency.org	
Counties served:	ISLE OF WIGHT County	Tentative allocation:	\$ 233,921.80	Congressional	CD
	FRANKLIN County	Planned units:	24	districts served:	VA-01
	YORK County	Type of organization:	Non-profit organization		VA-04
	HAMPTON City				VA-03
	SOUTHAMPTON County				
	POQUOSON City				
	NEWPORT NEWS City				
	NORTHAMPTON County				
	SUFFOLK City				
	ACCOMACK County				
	JAMES CITY County				
	WILLIAMSBURG City				
	Source of labor: Contractors				

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State: VA Grant Number: EE0006190 Program Year: 2017

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This worksheet should be completed as specified in Section III of the Weatherization Assistance Program Application Package.

**V.1 Eligibility**

**V.1.1 Approach to Determining Client Eligibility**

Provide a description of the definition of income used to determine eligibility

In order for a dwelling unit to be eligible for weatherization services, the family unit must meet the income eligibility requirements as defined in CFR 440.22. Virginia WAP currently uses the Low Income Home Energy Assistance Program limits of 60% of State median income.

Income eligibility of applicants for weatherization assistance is determined and verified by the subgrantees and is subject to examination by officials of the Virginia Department of Housing and Community Development and the U.S. Department of Energy (DOE).

Income is determined in accordance with DOE program guidance on definition of income. The State provides subgrantees with an "application for services/eligibility certification form" containing information that must be obtained from prospective program participants before a decision can be made on their eligibility for weatherization assistance. Individual subgrantees may expand or reformat this application (for example to accommodate other types of assistance available through the subgrantee or to capture additional demographic information required by other funding sources); however, a subgrantee must include all the items on the application form required by the State.

All applicants are required to identify the amount and source of income for their household. In addition, they have to indicate whether they rent or own their home and sign their application testifying to the correctness of their statements. In rental situations, property owners must sign the application to give authorization for the work. Falsification of an application is subject to prosecution.

When one or more persons residing in the unit receive assistance under Title IV or XVI of the Social Security Act during the preceding twelve month period, categorical eligibility applies. It also applies if an applicant is eligible for assistance under the Low Income Home Energy Assistance Act of 1981, where 60% of state median income is at least 200% of the federal poverty level.

Income eligibility must be recertified after 12 months if work on the unit has not been initiated.

Client eligibility is more fully described in the Virginia WAP Program Operations Manual (attachment)

Describe what household Eligibility basis will be used in the Program

A household is defined as a family unit meeting the regulatory qualifications for determining a dwelling unit eligible for assistance. Virginia currently utilizes the LIHEAP guidelines of 60% of SMI. This information can be located at the following website:  
<https://liheapch.acf.hhs.gov/profiles/povertytables/FY2017/popstate.htm>

Describe the process for ensuring qualified aliens are eligible for weatherization benefits

Virginia will follow the policies outlined in the Summary of Immigrant Eligibility Restrictions Under Current Law as of 2/25/2009 in the U.S. Department of Health and Human Services (HHS) guidelines located at <http://aspe.hhs.gov/hsp/immigration/restrictions-sum.shtml> when determining eligibility of qualified and nonqualified aliens.

Non-citizens who fail to meet one or more of these criteria, are not eligible to receive Weatherization services.

Applicants denied services for any reason must receive clear written notification that their application for assistance has been denied and the reasons for their denial. The notice of denial must be properly documented within the agency records. Agencies must have a written client appeals procedure that is clearly stated in the denial notice.

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**V.1.2 Approach to Determining Building Eligibility**

Procedures to determine that units weatherized have eligibility documentation

Income data is certified and calculated in accordance with DOE program guidance. The State provides subgrantees with an "application for services/eligibility certification form" containing information that must be obtained from prospective program participants before a decision can be made on their eligibility for weatherization assistance. Individual subgrantees may expand or reformat this application (for example to accommodate other types of assistance available through the subgrantee or to capture additional demographic information required by other funding sources); however, a subgrantee must include all the items on the application form provided by the State. All applicants are required to identify the amount and source of income for their household. In addition, they have to indicate whether they rent or own their home, and sign their application testifying to the correctness of their statements. In rental situations, property owners must sign the application to give authorization for the work. Falsification of an application is subject to prosecution.

Describe Reweathering compliance

**Re-weatherization:** Any dwelling weatherized after September 30, 1994, or any subsequent date as established in 10 CFR 440 subpart §440.18 as amended, is not eligible for weatherization. Subgrantees must report re-weatherized homes on their monthly report.

Subgrantees check addresses to ensure that units have not previously received assistance. DHCD currently uses a web based software system in which subgrantees enter client and building information that acts as a cross reference against duplication.

**Disaster Planning and Relief:** In the event of a natural disaster (i.e., flood, tornado, or fire) and in accordance with DOE guidance issued in WPN 12-7, the use of DOE WAP funds is limited to eligible weatherization activities and the purchase and delivery of weatherization materials.

Allowable expenditures under WAP include: 1) the cost of incidental repairs to an eligible dwelling unit if such repairs are necessary to make the installation of weatherization materials effective and, 2) the cost of eliminating health and safety hazards, elimination of which is necessary before the installation of weatherization materials (10 CFR 440.18(d)(9); 10 CFR 440.18(d)(15)). To the extent that the services are in support of eligible weatherization work, such expenditure would be allowable. For example, debris removal at a dwelling unit so that the unit can be weatherized would be an allowable cost. Debris removal from a dwelling unit that is not to be weatherized would not be an allowable cost.

The average cost per dwelling unit limit applies.

Weatherization personnel can be paid from DOE funds to perform functions related to protecting the DOE investment. Such activities include: securing weatherization materials, tools, equipment, weatherization vehicles, or protection of local agency weatherization files, records and the like during the initial phase of the disaster response.

Using DOE funds to pay for weatherization personnel to perform relief work in the community as a result of a disaster is not allowable. Local agencies may use weatherization vehicles and/or equipment to help assist in disaster relief provided the WAP is reimbursed according to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards 2 CFR 200.

Describe what structures are eligible for weatherization

Eligible property types may be single-family residences (1-4 units), multi-family residences (5 or more units), manufactured housing, and may be owner-occupied or rental units. All structures must be stationary and have a street mailing address. Campers and non-stationary trailers are not eligible.

Virginia allows weatherization of shelters in accordance with DOE regulation in 10 CFR 440 regarding definition of 'shelter' as a dwelling unit or units whose principal purpose is to house on a temporary basis individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities and number of units. For the purpose of determining how many dwelling units exist in a shelter, a grantee may count each 800 square feet of the shelter as a dwelling unit or it may count each floor of the shelter as a dwelling unit.

A property review including age and historical designation is performed according to the State Historic Preservation Officer Programmatic Agreement. The Agreement outlines stipulations and exemptions for weatherization of structures in compliance under Section 106 of the National Historic Preservation Act.

Describe how Rental Units/Multifamily Buildings will be addressed

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The VA WAP Operations Manual contains the procedures that address protection of renters' rights as specified in §440.22(b)(3) and §440.22(c)(e). Whether single-family or multifamily, the VA WAP Operations Manual includes procedures ensure that:

- Written permission of the building owner or his agent before commencing work.
- Benefits of the services accrue primarily to the low-income tenants residing in such units.
- For a reasonable period of time after completion, the household will not be subjected to rent increases. VA's program specifies that no rent increases after WAP services can occur for two years (unless those increases are demonstrably related to other matters other than the weatherization work performed or are documented contractually). The VA WAP Operations Manual requires adequate procedures whereby the state office can receive tenant complaints and owners can appeal, should rental increases occur.
- No undue or excessive enhancement shall occur to the value of the dwelling unit as a result of WAP activities.
- Single Family Rental units are handled the same as single family owned units. The resident is determined eligible and the owner must sign off for work to be done.

In addition, the Operations Manual includes sample contracts (multi-family) and applications (single family rental) that sub-grantees utilize for how rental units are handled.

An owner matching contribution is required for multi-family rentals. A 15% owner match of actual weatherization costs, based on the \$7,212.00 average cost figure, is required unless the owner also meets WAP income eligibility requirements. In this case no match is required.

**Multi-Family Rental and Weatherization:**

This process has been developed to provide subgrantees the ability to independently assess eligibility/feasibility, and to initiate, implement, and complete a multi-family weatherization project. An overview appears below and each step is explained in the appropriate section later. Multi-family buildings are defined as buildings with three stories or less, including duplexes, triplexes, and quadplexes. VA has been approved to weatherize buildings with 3 or fewer stories, 25 units or less, and units are individually heated/cooled using the HEAT audit tool. To weatherize buildings of 4 stories or more, 26 units or more, or centrally heated buildings, prior written approval must be obtained from DOE on a case by case basis.

- Meeting with Owner (feasibility of project, VA-aligned SWS Field Guide standards).
- Tenant Applications, collect hard copy income documentation or a printed list of tenants by unit showing income if property is on HUD list.
- Based on number of eligible units, determine maximum allowable funding.
- Collect utility bills from previous 12 months.
- Completely fill in the required forms and send with all required documents to DHCD Program Administrator. This must be completed by the Sub-grantee, not the property owner. DHCD will review the documents. If complete, DHCD will approve or deny the project.
- Perform an audit and develop Scope of Work and send to DHCD. DHCD will approve or deny the Scope of Work.
- Sign Project Agreement (DHCD template) between Agency and Owner.
- Subgrantee will procure subcontractors to complete work.
- Implementation- timeline, scheduling, order materials, notify residents, complete work, continuous quality control, technical oversight, recycle, storage of materials onsite.
- DHCD must inspect when first building complete. Sub-grantee must schedule with DHCD technical monitor.
- Sub-grantee must conduct a final inspection on each unit and perform the required blower door and other diagnostic tests.
- Walk-through exit process with Owner.
- Reporting (eligible, non-eligible). Whether applications are used or the HUD list is used, all required demographic information must be collected for reporting purposes

**Describe the deferral Process**

**Ineligible Properties**

Properties occupied by ineligible households are not eligible for weatherization.

Properties that may be deferred for weatherization include, but are not limited to:

1. the building structure is not safe or structurally sound;

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2. the sewage system has failed and requires correction prior to installation of weatherization measures;
3. other sanitary factors are present that prohibit the timely and efficient installation of weatherization measures;
4. completion of weatherization work would endanger the client or providers;
5. the property (house) has been condemned or slated for demolition;
6. the presence of actionable levels of lead-based paint that cannot be mitigated by lead-safe weatherization;
7. the presence of severe moisture problems that cause mold that cannot be corrected by installation of weatherization measures;
8. friable asbestos or other asbestos issued exist that cannot be addressed with weatherization funding;
9. property is planned for relocation or sale;
10. planned property rehabilitation that will degrade installed weatherization measures;
11. if the job costs would cause the agency to exceed the maximum average job cost or to exceed maximums established in local policy;
12. the unit has received weatherization services with DOE funds after 9/30/1994.

Deferrals also may be necessary in situations where:

1. the client has self-declared health conditions that prohibit installation of weatherization materials;
2. the client is uncooperative, abusive or threatening;
3. the illegal presence or use of controlled substances in the home exists during the weatherization process;
4. there are unsecured pets that may pose a danger to workers;
5. the client refuses measures or declines services.

Applicants must receive clear written notification of the reason for deferral.

The deferral must be properly documented in the agency's records. A written appeal procedure must exist.

### **V.1.3 Definition of Children**

Definition of children (below age): **19**

### **V.1.4 Approach to Tribal Organizations**

☐ Recommend tribal organization(s) be treated as local applicant?

If YES, Recommendation. If NO, Statement that assistance to low-income tribe members and other low-income persons is equal.

Low-income members of an Indian tribe will receive benefits equivalent to the assistance provided to other low-income persons within the State.

### **V.2 Selection of Areas to Be Served**

Virginia provides services statewide. All Virginia localities are eligible for assistance and includes cities, counties and towns. The Weatherization subgrantees were selected in accordance with Section 440.15(a)(3), where "preference is given to any CAA or other public or nonprofit entity which has, or is currently administering an effective program."

As required, factors considered when selecting a subgrantee include, at a minimum, the extent to which the subgrantee has achieved, or is achieving, weatherization goals in a timely fashion and the quality of work performed by the subgrantee. The selection process emphasizes the regulation's requirement for program effectiveness. The State evaluates the ability of each current subgrantee to achieve goals in a timely fashion as demonstrated in the current program and the capability of the subgrantee to effectively achieve weatherization goals. During the grant budget periods, Virginia DHCD requires the subgrantees to submit a Grant Management Plan (GMP).

The Grant Management Plan (GMP) is intended to foster improved management, communication, planning and accountability across Virginia's Weatherization network. The plan contains financial, programmatic, and contractor/crew management components.

The three components of the GMP create a more proactive approach by 1) outlining and acknowledging expectations; 2) explaining the basic state of an agency's individual program; 3) sharing information that contributes to better communication both internally and externally between the program staff the financial staff; and 4) setting a consistent standard for all agencies with regard to contractor and crew management.

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The plan was reviewed and developed by the Financial Operations Group (FOG), a working group consisting of DHCD staff and network volunteers.

All subgrantees serve multi-jurisdictional areas. Subgrantees are provided a DOE allocation using a formula that is based on low-income population, and square miles served. Any additional funds made available by the DOE during the program year are allocated to subgrantees using the same formula allocation. Subgrantees are encouraged to coordinate with other Federal, State, local, or privately funded programs as required in 440.14, "Minimum program requirements."

### **V.3 Priorities for Service Delivery**

DOE regulations require agencies to give priority to identifying and providing weatherization assistance to elderly, persons with disabilities, and families with children (18 years of age and under), (NOTE: for next two categories see statement below) high residential energy users, and households with high energy burden.

**High residential energy users, and households with high energy burden statement:**

DHCD receives two client referral lists annually from Virginia Department of Social Services LIHEAP program which includes all fuel assisted clients and all cooling assisted clients. DHCD distributes this list to the Virginia WAP Network for referrals and outreach. This list also contains an energy burden percentage for each client.

### **V.4 Climatic Conditions**

Virginia is divided into six Climate Divisions. These are Tidewater, Eastern Piedmont, Western Piedmont, Northern, Central Mountain, and Southwestern Mountain. These Divisions reflect the diverse geographic aspects of the Commonwealth. Virginia's formula is currently based on the percentage of low income population and square miles of coverage for each city and county.

### **V.5 Type of Weatherization Work to Be Done**

#### **V.5.1 Technical Guides and Materials**

See Document Library

[Virginia SWS Field Guide \(Large file 140mb\) - http://www.dhcd.virginia.gov/images/Housing/Retrofitting%20Virginia%20-%20Single%20Family%20v1.2%20\(1\).pdf](http://www.dhcd.virginia.gov/images/Housing/Retrofitting%20Virginia%20-%20Single%20Family%20v1.2%20(1).pdf)

[WAP Operations Manual 2013 - http://www.dhcd.virginia.gov/images/Housing/WAP-Operations-Manual-2013.pdf](http://www.dhcd.virginia.gov/images/Housing/WAP-Operations-Manual-2013.pdf)

#### **V.5.2 Energy Audit Procedures**

Audit Procedures and Dates Most Recently Approved by DOE

**Single-Family :** All single family homes are audited using Hancock's Home Energy Auditing Tool (HEAT), effective September 1, 2016.

**Manufactured Housing :** Manufactured Housing are modeled with Hancock's Home Energy Auditing Tool (HEAT) \*\*\*  
\*\*\*HEAT for manufactured housing has been approved as an audit tool by DOE and is still in the final approval phase for use in VA.

**Multi-Family :** Multifamily units with 3 or fewer stories and 25 units or fewer are modeled with HEAT, effective September 1, 2016.

Comments

DHCD utilizes the Standard Work Specifications to weatherize homes. The measures outlined in the Standard Work Specifications have been customized to meet the needs of Virginia-specific measures. Subgrantees are required to follow the priorities established in the Standards based upon the home audit/estimation. This includes several diagnostic tests using specialized equipment. A final inspection by



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a certified Quality Control Inspector is required for every completed weatherization job.

Due to the nature of Virginia's varied area and agency make up, DHCD uses the Grantee-Developed Quality Control Inspection Policy. These guidelines will allow a mixture of QCI uses across the network. If an agency chooses to use the same certified person to perform both the initial audit and the final inspection, their agency will be subjected to a more stringent monitoring process examining 10% across the agency. If an agency chooses to utilize a separate, qualified individual for the final inspection, their monitoring will remain at 5%. The increased monitoring scrutiny will remain agency-wide no matter if they occasionally choose to separate these roles at the final inspection.

If the Virginia WAP determines that a local QCI fails to inspect to the field guide, Virginia will issue a finding and recommend/provide additional technical assistance or training. If the subgrantee fails to rectify the issue and continues to perform below standard, the State may consider a probationary status or termination.

Language referencing the specifications for work and requiring inspection by QCI on every completed Weatherization job will be incorporated into each subgrantee and vendor contract.

**Single family**

As of September 1, 2016, only the HEAT audit has been used for single family homes.

All Virginia subgrantees have been trained in the use of the latest version of HEAT and will periodically receive additional training as newer versions are made available. Before any deviation from the Standard Work Specifications is allowed, prior written approval must be obtained from DHCD, and a HEAT audit must be completed and documented in the project file. These audits must be maintained in the file. Subgrantees inspect, review and approve the contractors work during the project final inspection.

**Multifamily**

Multi-family buildings are defined as buildings with three stories or fewer, including duplexes, triplexes, and quadplexes. VA has been approved to weatherize buildings with 3 or fewer stories, 25 units or fewer, with units that are individually heated/cooled; the HEAT audit tool is used for these properties.

**V.5.3 Final Inspection**

Subgrantees are required to perform a final inspection of all weatherization measures (including any mechanical work performed) of each dwelling unit before the job can be reported to DHCD as a completion. The individual completing the final inspection must be QCI-certified and the final inspection must be signed and dated by the qualified Quality Control Inspector. The date and name of the QCI inspector are required on the Job Report for each weatherization completion submitted to DHCD. The inspector is certifying that the work has been completed in accordance with the Standard Work Specifications. Virginia DHCD has created a standardized form that will ensure SWS compliance on these final inspections.

In situations where a subcontractor is used to perform a portion or all of the weatherization work, DHCD holds the subgrantee contractually responsible for inspecting and certifying that the job has been completed to the Standard Work Specifications. Contractors hired by Subgrantees will be made aware of these requirements. A signed contractor agreement will be filed by the subgrantee proving these requirements have been outlined to the subcontractor.

Virginia is fortunate to have an IREC-accredited training center (WTC) in Christiansburg VA that is a national leader in implementing weatherization training programs. The Virginia WAP partners with the WTC to ensure that the network has a well-trained workforce. Each subgrantee in the Virginia WAP network currently employs or contracts one or more QCIs. Training and testing is available at the WTC to ensure agencies have access to sufficient numbers of certified inspectors to maintain consistent production levels. Virginia allows the costs when the candidate does not pass the QCI certification, but is still eligible for re-testing. If a subgrantee does not have a QCI on staff, they must contract with another agency, the WTC, or some other private contractor to ensure the inspection requirement is met.

**Quality Control Inspectors – Corrective Action for Inadequate Inspections**

**1st offense – Warning and Corrective Action**

- The first time a QCI is determined by the Virginia Weatherization Program Technical Inspector to have passed work not in compliance, the QCI (with copy to the agency ED) will be issued both a verbal and written warning. Steps will be identified to prevent the mistake from happening again. Action will be taken to correct the measure at the agency's cost.

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2nd offense – Additional Training and Field Mentor Shadow on Live Job (after training)

- The second time the QCI is found to have passed work not in compliance; the QCI will need to receive additional QCI training from a qualified trainer per the State Training Center. This will include, but is not limited to, a complete day of in- field training on how to properly QCI jobs. The QCI must perform a proper QCI, documented by written verification by the trainer. The Agency will be required to coordinate and pay for cost of training. Training Center must be notified to schedule training within 30 days of 2nd offense notification.

3rd offense – Loss of QCI privilege in the network

- The third time a QCI is found to have passed work not in compliance; the QCI will forfeit their ability to QCI jobs in the Virginia WAP network. Suspended QCI's may work with DHCD on a case by case base for re-entry to perform QCI's in the Virginia WAP network.

**NOTE:**

This will apply to both agency employed QCI's and contracted QCI's. Agencies who subcontract QCI services must ensure that these conditions are stated in the contract for services

Above are the program minimum standards. Agencies have the option to follow more stringent actions if they so desire.

Specific language that will be inserted into sub-grantee and contractor agreements that indicates the signatory's responsibility to perform work to the specifications outlined in 15-4.

*The sub-grantee and sub-grantee's contractors shall perform weatherization services during the Program Year in accordance with the specifications outlined in the Department of Energy's Weatherization Program Notice 15-4, the Commonwealth of Virginia's Weatherization Assistance Program (WAP) state plan, Virginia's WAP Standard Work Specifications, and other program manuals and policies, as applicable and any amendments thereto. The Sub-grantee's signature on this agreement signifies its understanding and responsibility to follow all work standards, to ensure weatherization staff and sub-contractors receive and review these documents and use them to guide the weatherization work performed in client homes.*

**V.6 Weatherization Analysis of Effectiveness**

July 1 - June 30 is the normal period of performance in the weatherization contract between DHCD and the subgrantee.

Subgrantee monitoring is ongoing and tied to the performance period in the contract between the subgrantee and DHCD. DHCD analysis of individual subgrantees, and whether or not continued funding is warranted, includes such considerations as: onsite field and financial/administrative monitoring visits, and demonstrated willingness and ability to produce completed units while coordinating with and utilizing multiple funding sources.

Program production and expenditure rates are tracked on an on-going basis at the state level. This information is shared with the network of subgrantees, at a minimum, during the statewide weatherization "interchange" held by DHCD. Similar information is provided as part of the "Summary Analysis" prepared with each payment. Future training, technical assistance, and monitoring needs are determined based on these analyses and the results of the field and financial/administrative monitoring.

**V.7 Health and Safety**

**Health and Safety Plan**

Health and safety is referenced in the CFR: 440 rule and WPN 11-6.

Health and Safety repairs can only occur when weatherization measures are being performed. All measures listed as allowable below are allowable for WAP funds.

Corrections of identified hazards must be charged to the Health and Safety budget category.

Energy related health and safety actions are those actions necessary to maintain the physical well being of both the occupants and/or weatherization workers where:

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- Costs are reasonable; **AND**
- The actions must be taken to effectively perform weatherization work; **OR**
- The actions are necessary as a result of weatherization work.

A health and safety inspection must be completed as part of the Energy Audit. These inspections include, but are not limited to, the following:

- Blower Door testing and testing for ambient levels of carbon monoxide (CO)
- Power supply inspections, repair, or upgrades
- Inspecting for gas leaks
- Inspecting for adequate combustion air for combustion heating appliances
- Draft and CO tests for combustion appliances
- Inspection of venting systems, to include the chimney
- Inspection for adequate clearance from combustibles
- Inspection of safety controls on combustion appliances
- Inspection to determine structural integrity of dwelling
- Inspection for the presence of lead
- Inspecting for ACMs (Asbestos Containing Materials)
- Inspecting for the presence of mold, pests, and other pollutants

Auditors must also solicit information from clients to reveal known or suspected occupant health and safety concerns and document that on the audit forms.

Clients must be informed in writing of hazards that are identified during the audit and installation. The document must provide a clear description of the issue, the actions necessary for weatherization to continue and who is responsible for those actions. The document must be signed by the client acknowledging they understand and accept the provisions.

Upon failed inspection, subgrantees may use WAP H&S funds for the following work:

Common H&S repairs:

- Ventilation (ASHRAE)
- Vapor Barrier\*
- Smoke Detectors
- CO Alarms
- HVAC Repair
- HVAC Replacement

\*Vapor barrier may be considered an incidental repair if coupled with installed subfloor insulation.

#### **Air Conditioning Systems**

Air conditioning system replacement or repair is allowable in homes of at-risk occupants when inoperable/nonexistent.

At-risk occupants are defined as:

- elderly (60 years or older)
- children (under the age of 6)
- occupants with health conditions that warrant the need for conditioned air

#### **Asbestos**

Siding—removal of siding is allowed to perform energy conservation measures. All precautions must be taken not to damage siding. Asbestos siding should never be cut or drilled. Recommended, where possible, to insulate through home interior.

Pipe insulation—encapsulation is allowed if performed by an Asbestos Hazard Emergency Response Act (AHERA) professional and should be conducted prior to blower door testing.

When Asbestos or Asbestos Containing Material (ACM) is identified or assumed, the use of a Blower Door in pressurization mode is allowed. Depressurization

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method is **prohibited** when suspected ACMs exist.

Subgrantees/Contractors must have training/license required by the Virginia Department of Professional and Occupational Regulation (DPOR) before any abatement or encapsulation efforts are performed. Encapsulation by an AHERA Asbestos control professional is allowed. Removal of Asbestos in vermiculite is not allowed. Removal of Asbestos on pipes, furnaces, and other small, covered surfaces are allowed on a case-by-case basis by an AHERA Asbestos control professional.

If a deferral has been determined due to the degree of Asbestos contamination, proof of certified, professional encapsulation or abatement will be required prior to continuing weatherization efforts. This protects weatherization workers from entering a dwelling where an ACM has been haphazardly disposed of in order to complete weatherization efforts.

### Drainage

The following are allowable drainage measures:

- gutters and downspouts
- flashing
- diverters
- sump pumps

Please see the **VA-aligned SWS Field Guide** for more information regarding drainage.

### Dryer Venting

Dryer venting is an allowable expense. Clothes dryers shall be ducted to the outdoors, which does not include unconditioned spaces such as attics and crawlspaces that are ventilated with the outdoors. Refer to the **VA-aligned SWS Field Guide** for more information regarding dryer venting requirements.

### Electrical

Minor electrical repairs are allowed where health and safety of the occupant is at risk. Upgrades and repairs are allowed when necessary to perform specific weatherization measures. Refer to the **VA-aligned SWS Field Guide** for more information regarding electrical requirements.

### Gas Cook Ranges

Gas range replacement is **not** an allowable Health and Safety expense. However, cleaning and repair are allowable if high levels of CO are present. Costs shall not exceed \$300.

### Heating Systems

Repair of heating systems is permitted under the following conditions:

- unsafe levels of carbon monoxide (CO)
- improper draft
- improper venting
- unsafe chimney

Replacement of heating systems is permitted under the following conditions:

- inoperable/nonexistent
- unsafe levels of carbon monoxide (CO) that cannot be remedied by repair

*"Red tagged", inoperable, or nonexistent heating system replacement, repair, or installation is allowed where climate conditions warrant, unless prevented by other guidance herein. Air conditioning system replacement, repair, or installation is allowed in homes of at-risk occupants where climate conditions warrant.*

Heating Systems must be replaced for efficiency if the SIR is one or greater before being replaced as a H&S measure.

Solid Fuel Heating—maintenance, repair and replacement of primary indoor heating unit is allowed where occupant health and safety is a concern. Only maintenance and repair is allowed if used as a secondary heating system.

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**Lead Based Paint**

Testing is an allowable and should be done in accordance with the EPA's Renovate, Repair, and Paint (RRP) training. Job site set up and cleaning verification is required by a Certified Renovator. Abatement is not allowed.

**Mold and Moisture**

Although mold testing is not an allowable expense, a visual inspection is required during the audit and final inspection. Limited water damage repairs that can be addressed by weatherization workers and correction of moisture and mold creating conditions are allowed when necessary in order to weatherize the home and to ensure the long term stability and durability of the measures. Where severe Mold and Moisture issues cannot be addressed, deferral is required. See the *Drainage* section of this chapter for allowable drainage measures.

**Occupant Health Risks**

During the application process, clients should inform the agency of any known health concerns. The client should also be interviewed during the audit and educated on possible health risks before the installation of weatherization materials.

**Pests**

Pest removal is allowed only where infestation would prevent weatherization. Infestation of pests may be cause for deferral where it cannot be reasonably removed or poses health and safety concern for workers. Screening of windows and points of access is allowed to prevent intrusion.

**Pollutants**

Removal of pollutants (e.g., formaldehyde, volatile organic compounds) is allowed and is required if they pose a risk to workers. If pollutants pose a risk to workers and removal cannot be performed or is not allowed by the client, the unit must be deferred.

**Radon**

Radon is a radioactive gaseous element formed by the disintegration of radium. It occurs naturally (especially in areas over granite) and is considered a hazard to health. See section in the VA-aligned **SWS Field Guide** for installation requirements to alleviate radon risks. Testing is allowable in areas with high radon potential.

**Refrigerant**

Refrigerant must be reclaimed, where necessary, per the Clean Air Act 1990, section 608, as amended by 40 CFR82.

BPI's Heat Pump Professional certification is available through Energy Solutions Research and Training Center.

**Relocation**

Relocation expenses are allowable where the installation of weatherization measures may pose a risk to the client. Relocation assistance is not permitted for multi-family.

**Smoke Detectors, Carbon Monoxide (CO) Detectors, and Fire Extinguishers**

Installation of smoke and CO detectors are allowed only where they are not present or inoperable. Smoke Detectors must be installed on each floor, in each bedroom and the immediate vicinity of the bedrooms. Providing fire extinguishers is permitted only when solid fuel is present.

**Vapor Barrier**

Vapor barriers must be installed in every crawlspace unless skirting is missing on manufactured homes. Refer to **VA-aligned SWS Field Guide** for installation guidelines.

Vapor barriers may be charged as an incidental measure if floor insulation is being installed as part of weatherization efforts.

**Water Heaters**

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Replacement is only allowed when the tank is leaking. Repair and cleaning are allowed.

**Ventilation**

ASHRAE 62.2-2016 standard is required on all applicable units.

**Prohibited Uses**

Health and Safety funds may not be used for the following:

- Replacement of appliances unless explicitly listed in this chapter
- Asbestos abatement
- Lead abatement
- Major mold and moisture remediation
- Bacteria and virus remediation
- Building rehabilitation
- Correction of preexisting code compliance issues (State and local codes must be followed while performing weatherization work)
- Window and door replacement

**Beyond the Scope of Weatherization**

Health and Safety measures should not exceed reasonable costs. Discretion must be given when considering the level of these measures

**Allowable Costs**

Fifteen percent (15%) of all subgrantee WAP contract funds are reserved specifically for H&S activities. There is also an average per unit expenditure limit of \$1,081.80 (15% of the average cost per unit). Subgrantees may request reimbursement for H&S activities directly from this line item. Unused H&S funds may be converted to the Program Operations (support) budget category. Expenditures for H&S related activities listed on the H & S line item are not calculated into the average cost per unit for completed projects.

**Crew/Contractor Safety**

All workers must follow OSHA standards and Material Safety Data Sheets (MSDS) and take precautions to ensure the health and safety of themselves and other workers. MSDS must be posted wherever workers may be exposed to hazardous materials.

OSHA 10 hour training or equivalent is required for all workers. OSHA 30 hour training or equivalent is required for crew leaders. This will be verified during the annual technical monitoring visits. Training records will be verified annually during technical monitoring.

All workers must be trained in proper use of equipment and tools and must maintain any necessary or required licenses and/or certifications. The Virginia Department of Professional and Occupational Regulation (DPOR) requires a residential energy auditor to be licensed as a Residential Building Energy Analyst and to carry specified liability coverage or be covered by a licensed firm. Virginia WAP requires every Energy Auditor to hold the RBEA license. Subgrantees are required to ensure that all workers are trained and that their training is documented in personnel files. Training costs may be reimbursed through the T/TA budget line item.

**Client Education and Safety**

Clients must be educated on any potential dangers existing in their home. Some common client education topics include:

- Combustion—if a heating system is present that requires combustion air, the client must be educated on the importance of keeping combustion air vents free and uncovered. Clients must also be informed if there are unsafe conditions that are discovered during the combustion appliance testing and be instructed not to operate it until it is repaired or replaced. If the conditions cannot be corrected by Weatherization or Health and Safety funds, the house must be deferred.
- Smoke and Carbon Monoxide Detectors—clients should be shown how to test and replace the batteries.
- Unvented Space Heaters—unvented space heaters should be removed whenever possible. Clients should be educated on the dangers of fuel-fired unvented space heater. If an unvented unit is to remain, a client-signed document stating the dangers of operation shall be left with the client. This document shall be contained in the client's file.
- Lead—the EPA's lead pamphlet should be given to each client living in houses built prior to 1978.
- Asbestos—materials testing positive or assumed to contain asbestos should be identified and revealed to the client. Further instruction must be given on how to avoid disturbing such material, especially when it is friable.
- Moisture and mold—clients should be instructed on how to remove excess moisture from the dwelling (e.g., exhaust fans when taking showers or

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cooking).

Energy Auditor/Estimator/Inspectors are required to assess client households to determine if the clients are able to withstand the conditions that may be generated during the weatherization process prior to implementing weatherization measures. Clients must be informed regarding what conditions to expect and provided the option to leave the home during weatherization.

Hazards identified during weatherization must be documented and the client must sign that they received this documentation. This documentation must be maintained in the client file.

Existing Client Health Problems—Subgrantees are required to ask clients if there are existing health problems that may impact the services that can be provided and evaluate the potential to aggravate pre-existing health conditions. These problems will be documented and care will be taken to avoid exacerbating the problem.

**Hazard Communication Plan (HCP)**

Virginia complies with OSHA's Hazard Communication Standards by requiring all crew members that work on client homes to take mandatory OSHA training courses. Crew members are required to learn the appropriate handling and safe use of hazardous chemicals in the workplace and in the homes of the Weatherization client. Training is provided to inform workers on how to read product labels for hazardous chemicals and the use of safety data sheets.

**Pollution Occurrence Insurance (POI)**

Pollution Occurrence Insurance is not required; however, DOE strongly recommends Pollution Occurrence Insurance (POI) as a part of, or an addendum to, general liability insurance. These costs are also charged on the liability insurance line item. If subgrantees choose **NOT** to obtain POI coverage and damage occurs because of not following all aspects of Lead Safe Weatherization, or there is disturbance to any other environmental pollutants, the cost to do remediation, clean up, relocation, medical expenses, or any other resulting costs may not be charged to DOE Weatherization and must be covered by another funding mechanism.

**Testing**

The following are allowable Health and Safety tests:

- Combustion safety for HVAC equipment (CO, Draft)
- CO testing on gas cook ranges
- Gas leaks
- Combustion appliance zone (CAZ) testing
- Lead testing

**Virginia Lead-Safe Weatherization (LSW) Practices**

**VA WAP LEAD SAFE WORK REQUIREMENTS**

LSW training is required for all weatherization workers and subcontractors and is provided through the WTC. Training will be verified annually through technical monitoring review of employee files.

Subgrantees and their contractors must follow EPA's Renovation, Repair and Painting Rule (RRP) and be certified by EPA and use certified renovators who are trained by EPA-approved training providers to follow lead-safe work practices.

**Summary**

All federal, state and local rules, regulations, and guidelines are applicable to subgrantees and subgrantee contractors. This includes health and safety rules and regulations as mandated by the federal Occupational Safety and Health Administration (OSHA) as well as by the Virginia Department of Labor and Industry (DOLI) and the Virginia Occupational Safety and Health (VOSH).

Health and safety practices apply to motor vehicle operation in addition to actual weatherization activities. Unauthorized drivers or untrained equipment operators can imperil a contractor's licensing. Lack of licensing will cause the revocation of provider or grantee status in the Virginia Weatherization Assistance Program.

Tools and equipment should be properly used, maintained, stored and inventoried. Diagnostic equipment should be calibrated according to manufacturer's specifications. Vehicles should receive regular care, inspection, and preventative maintenance and must meet the requirements of the Division of Motor Vehicles (DMV) for legal vehicle operation. Proper documentation regarding warranties, routine maintenance records, repairs, etc. is a critical aspect of acceptable

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safety practices.

Work must be done in such a manner as to protect workers and clients as much as possible.

The VA-aligned SWS Field Guide includes “best practices” that recognize safety issues and acceptable service delivery methods.

## **V.8 Program Management**

### **V.8.1 Overview and Organization**

DHCD falls under the Secretary of Commerce and Trade. The Department has a Director, a Principal Deputy Director and a Deputy Director for each of the Department's four Divisions of: Administration, Community Development, Building and Fire Regulations, and Housing. Organizational Charts for the Department and Housing Division are attached.

The Division of Housing has three units: Housing and Homeless Assistance, Housing Policy, and Housing Production and Preservation. The Weatherization Assistance Program is located in the Housing Production and Preservation Unit. The program is one of approximately twenty (20) programs administered within the Housing Division. Other programs in the Housing Division assist with affordable single and multifamily housing development, homeownership, homelessness, and special populations such as individuals with disabilities.

Six full-time staff and one part-time staff are assigned to the WAP. A small number of other permanent and non-permanent positions provide administrative support, and the amount of DOE funds used to pay the costs associated with these support staff may vary from year-to-year depending on the DOE and LIHEAP allocation.

### **V.8.2 Administrative Expenditure Limits**

DHCD allocates at least 5% of the 10% administrative funds from DOE to the sub-grantees based budget requests from the agencies. DHCD requests budgets from sub-grantees prior to the development of the State Plan that require historical data and future analysis of funding on the agencies' requirement for administrative funds. For sub-grantees receiving grants of less than \$350,000.00 DHCD will allow requests for administration funds up to the 10% maximum for the grant. Once budgets are received the percentages that were derived from the allocation formula (based on poverty and square mileage) are applied to the 5% admin set aside for the network. Amounts derived from applying allocation formula percentages are then compared to requested amounts. Admin budgets are then adjusted to be as close as possible within the 10% threshold that DOE allows starting with the smallest allocation working towards the largest allocation. Once the 10% threshold has been met no further adjustments are made.

Virginia DHCD has requested from DOE that they be allowed to exceed that 10% threshold based on the language in the guidance referenced on pg 15 from the WPN 16-1 Attachment 2.

#### **Proposal**

The proposal is to implement a new state policy allowing agencies who receive less than \$350,000.00 in total DOE allocation to be allowed to request additional administration (based on their individual allocation) but not to exceed 10% of their overall award.

Approval of additional administrative funds (over the typical 5%) would be based on an agency (subgrantee) submitting an approved indirect cost rate letter from the agency's cognizant federal agency providing their approved indirect cost rate percentage, or composing an official letter sign by Board Chair, Executive Director, and Chief Financial Officer declaring the 10% de minimis per the 2 CFR 200. If the rate exceeded the typical 5% the agency could receive an additional administrative fund up to a maximum of 10%, which would be taken out of their own program operation allocation.

Agencies that do not have an approved indirect cost rate from a cognizant federal agency, or does not use the 10% de minimis per the 2 CFR 200 would not be allowed to request additional administration.

NOTE: This result of approval of additional administrative funds would put the state overall above the 10% administration threshold as the State would retain it's 5% share for administrative costs.

#### **Verbiage from WPN**

##### *Subgrantee Administration*

- Amount available for Subgrantees must be at least 5 percent of the total new funds awarded.

- The Grantee may allow Subgrantees who receive less than \$350,000 of new DOE appropriated funds, to use up to an additional 5 percent of their subgrants for administration. This is permitted only if the Grantee has determined that such Subgrantee requires the additional amount to effectively implement the administrative requirements of the Program.

- o Grantees shall develop criteria to be used when allowing these eligible Subgrantees to use up to an additional 5 percent of their subgrants for administrative purposes.

- The total effect of the additional 5% of administration costs may result in the State exceeding the 10% administrative cost category for the award.



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Once written approval by DOE has been submitted the policy will be put into place.

Any program income earned must be used to complete additional units. Property owner contributions (landlords) and leveraged resources (utility or state funds) are not considered program income. Leveraged resources that are used in DOE Weatherization Program may be treated as appropriated funds, in which case they could be added to the total appropriated funds to determine overall administrative costs. DOE defines program income as any funds earned by the grantee and/or subgrantee(s) from non-Federal sources during the course of performing DOE Weatherization work. The income generated must be used to complete additional dwelling units in conformance with DOE rules, regulations, and guidance.

### **V.8.3 Monitoring Activities**

Financial & Administrative monitoring will be completed by DHCD Housing Program Analyst and/or the Weatherization Program Administrator once a year on-site for all of our subgrantees. Technical monitoring will be completed by the Field Monitor, who is also a certified Quality Control Inspector.

The comprehensive monitoring will include the following areas and details:

#### **Technical Monitoring**

- Program Overview (Client File Review, Work Orders, etc.)
- Equipment/Inventory/Materials
- Eligibility
- Rental Units
- Client Feedback
- Energy Audits
- Field Work
- Health & Safety
- Quality Assurance
- Training & Technical Assistance
- Qualifications & Training
- Weatherization of Unit
- Final Inspections

#### **Financial and Administrative Monitoring**

- Financial Management/Accounting Systems and Operations
- Administrative Management
- Single Audits
- Payroll/Personnel
  - Timesheets

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- Signed Job Descriptions
- License Review
  - Agency Contractors License
  - RBEA License
- Other Programs' Monitoring Reports
- Insurance Policies
- Lease Agreements
- Vehicle Mileage Logs
- Board Overview
  - Board Bylaws
  - List of Board Members
  - Board Meeting Minutes
- Contractor Management
  - Contractor List
  - Solicitation of Contractors
  - RFP Review
  - Contractors' License Certifications
  - Agreements
- Financial Policies and Procedures Manual (With special attention to)
  - Property Management
  - Records Retention
  - Conflict of Interest
  - Procurement
  - Indirect Cost Rate/Cost Allocation Plan
  - Debarment and Suspension
- Bank Account Signature Cards
- Credit Card Statements
- Detailed Expense Reports

DHCD will complete reviews based on the method of QCI implementation the subgrantee selects. This would be either 5% or 10% of each Subgrantee's completed weatherized units (with DOE funds). DHCD will review units "in progress" beyond the 5 percent completed units as time permits, in order to assess:

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quality and compliance; appropriate and allowable materials; appropriateness and accuracy of energy audits (no missed opportunities); comprehensive final inspections; safe work practices, such as lead safe weatherization protocols; client file review, and other factors that are relevant to onsite work.

If significant deficiencies are discovered, such as health and safety violations, poor quality installation of materials, major measures missed, DHCD will require the Subgrantee to take appropriate corrective action to resolve the outstanding issues in a timely manner. DHCD will also prescribe additional training to augment potential weak areas discovered in subgrantee monitoring. When a subgrantee has significant deficiencies, the Program may make more frequent visits either to provide additional technical assistance or to monitor for improvements in performance.

**Quality Work Plan (WPN 15-4 Requirements)**

Virginia administers the requirements of the Quality Work Plan by utilizing the grantee-developed QCI policy. Each subgrantee will have the option to utilize the same person as the Auditor/QCI or stand alone QCI, hereby known as the Independent QCI. However, in no instance should the QCI perform weatherization work on the dwelling. Each subgrantee will select their method prior to beginning of the Program Year.

If the subgrantee selects to utilize the same person as the Auditor/QCI for any amount of jobs, 10% of their jobs will be monitored by the State. If the subgrantee chooses to utilize the Independent QCI, 5% of all jobs will be monitored.

If at some point, if the Independent option is not feasible, the agency will be categorized in the 10% category for monitoring purposes. An agency may select to move from the 5% to the 10% category but not vice versa. The intent of this requirement is to increase monitoring scrutiny when an independent inspection cannot be performed. Virginia has worked with several states/training centers to align our field guide with the standard work specifications (SWS) requirements per WPN 15-4. The State will periodically review its policies to determine that all units are being inspected in an impartial manner and in accordance with the QCI requirement.

**Tracking and Analysis**

All the results of subgrantee monitoring, including, financial reviews, will be tracked by DHCD to final resolution. The tracking record will include: findings, concerns, recommendations, commendations, best practices, corrective actions, deliverables, technical assistance and training provided, and resolutions. Annually, DHCD will summarize each financial reviews, program monitoring reports, and any outstanding issues and develop a Subgrantee monitoring analysis overview that identifies each Subgrantee's needs, strengths, and weaknesses. The results of this monitoring analysis must be considered during annual planning and will be available for the PO to review during Grantee on-site monitoring visits.

DHCD is utilizing a standardized QCI final inspection checklist that aligns with the Standard Work Specifications. This checklist is providing opportunities to evaluate the audit, work and client feedback as well as allow for improvement on future jobs and missed opportunities. DHCD is using the same QCI form on monitoring inspections to provide accurate and timely feedback to the subgrantees in a impartial and complete manner. DHCD has coordinated a tracking process within Hancock that will assign designations to workers providing the QCI inspections in order to ensure compliance with the monitoring amounts.

**Exit Interview**

After the monitoring review is completed, DHCD will brief the Subgrantee on the observations and findings generated by the monitoring visit through an exit briefing. If Health and Safety issues that present imminent danger to people in the house are found during a visit, DHCD will instruct the Subgrantee to immediately resolve the issues. Sensitive or significant noncompliance findings, such as waste, fraud, or abuse will be reported to DOE immediately. In accordance with the Housing Division's monitoring policies and procedures, DHCD will prepare a written report for the Subgrantee that describes the current monitoring assessment (identify any findings, concerns, recommendations, commendations, and best practices) and any corrective actions, if applicable. Subgrantee noncompliance or repeated unresolved findings (based on a minimum of two monitoring visits at a Subgrantee) will be reported immediately to the PO.

**Compliance Report**

A Monitoring report will be completed and submitted to the agency's Executive Director within sixty days after the visit, and a copy will be forwarded to the Weatherization Manager. In cases of non-compliance, agencies will have thirty days to correct findings and notify DHCD of the corrections.

**Risk Assessment**

In accordance with 2 CFR 200, DHCD is developing a new, department-wide Risk Assessment process for all federally funded programs. It is currently in its test phase.

Prior to each monitoring visit, a risk assessment will be performed by DHCD personnel to determine the potential risk to the program, as well as the department. During the assessment of the subgrantee's risk, DHCD personnel will review the entity's status in SAM.gov. The risk levels determine the timeframe the subgrantee is required to receive technical and training assistance and/or a monitoring visit. There are four levels of risk determined by the

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assessment. The lowest risk does not require monitoring at that time, but technical assistance may be necessary. The most severe level of risk requires monitoring as soon as possible, and no later than six months; immediate technical assistance is necessary.

#### **V.8.4 Training and Technical Assistance Approach and Activities**

**Training and Technical Assistance (T&TA) Activities:** T&TA activities are intended to maintain or increase the efficiency, quality and effectiveness of the Weatherization Program at all levels.

Training plan:

DHCD is proactive in responding to recommendations from all levels of monitoring to include DOE, State audits and contracted QA reviews. DHCD has implemented and will continue to implement new processes to comply with all levels of monitoring.

Maintaining workforce credentials:

DHCD utilizes Energy Solutions, a nationally-accredited IREC training center that DHCD has partnered with and funded for years. Energy Solutions tracks credentialing and reports that information periodically to DHCD. DHCD holds an annual interchange to meet continuing education requirements.

DHCD currently offers all levels of training for technical staff through Energy Solutions, Virginia's WTC, the following is the required training based on the employee's designation (crew worker; crew leader; auditor; QCI):

**Required for WAP Retrofit Installer Technicians (Crew Workers) (required within 6 months of date of hire\*\*):**

- HEP\* Retrofit Installer Technician (RIT) course
- Lead Safe Weatherization (LSW) course
- OSHA 10 or 30 or equivalent safety course

**Required for WAP Crew Leaders (required within 9 months of date of hire\*\*):**

- HEP\* Retrofit Installer Technician (RIT) course
- Lead Safe Weatherization (LSW) course
- OSHA 30 or equivalent safety course
- HVAC Fundamentals course
- HEP\* Crew Leader course

**Required for WAP Energy Auditors (required within 12 months of date of hire\*\*):**

- HEP\* Retrofit Installer Technician (RIT) course
- Lead Safe Weatherization (LSW) course
- OSHA 10 or OSHA 30 equivalent safety course
- HVAC Fundamentals course
- ASHRAE 62.2 course
- HEAT software course
- HEP\* Energy Auditor course

**Required for WAP Quality Control Inspectors:**

- Lead Safe Weatherization (LSW) course
- OSHA 10 or OSHA 30 equivalent safety course
- HEP\* Quality Control Inspector certification

**Required Lead training:**

- Lead Safe Weatherization (LSW). All WAP crew workers and sub-contractors modifying any of the following will be subject to LSW certification:

These include, but are not limited to, interior components such as: ceilings, crown molding, walls, chair rails, doors, door trim, floors, fireplaces, radiators

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and other heating units, shelves, shelf supports, stair treads, stair risers, stair stringers, newel posts, railing caps, balustrades, windows and trim (including sashes, window heads, jambs, sills or stools and troughs), built in cabinets, columns, beams, bathroom vanities, counter tops, and air conditioners; and exterior components such as: painted roofing, chimneys, flashing, gutters and downspouts, ceilings, soffits, fascias, rake boards, corner boards, bulkheads, doors and door trim, fences, floors, joists, lattice work, railings and railing caps, siding, handrails, stair risers and treads, stair stringers, columns, balustrades, windowsills or stools and troughs, casings, sashes and wells, and air conditioners.

- Renovation, Repair and Painting (EPA RRP rule). At least one WAP crew worker, crew leader and/or sub-contractors working on Weatherization or LIHEAP jobs must complete this class and be accessible on lead-safe jobs. It is highly recommended that more than one staff member be certified to prevent work stoppage due to lack of compliance. This person must be physically present at the work site when signs are posted, while the work area containment is being established, and while the work area cleaning is being performed.

(ii) On or after April 22, 2010, no firm may perform, offer, or claim to perform renovations without certification from EPA under §745.89 in target housing or child-occupied facilities, unless the renovation qualifies for one of the exceptions identified in §745.82(a) or (c).

(3) Individuals . On or after April 22, 2010, all renovations must be directed by renovators certified in accordance with §745.90(a) and performed by certified renovators or individuals trained in accordance with §745.90(b)(2) in target housing or child-occupied facilities, unless the renovation qualifies for one of the exceptions identified in §745.82(a) or (c).

Visit <http://www.epa.gov/lead/pubs/renovation.htm#contractors> for details.

**Required OSHA training:**

- All WAP employees and subcontractors working on Weatherization and LIHEAP jobs must provide proof of OSHA or OSHA-equivalent training.\*\*\*

**Required Licensing & Credentialing:**

- All WAP Energy Auditors must be individually licensed by the Virginia Department of Professional and Occupational Regulation (VADPOR) as Residential Building Energy Analysts.
- Licensed Energy Auditors must work for firms registered with VADPOR to conduct Residential Building Energy Analysis OR hold \$100,000 in general liability insurance in individual's name. See [www.dpor.virginia.gov](http://www.dpor.virginia.gov) for more information on the application requirements.
- All WAP Quality Control Inspectors (QCI) must hold a valid BPI HEP QCI certification as of July 1, 2015.
- Agencies must have a Master HVAC-licensed individual on staff or utilize a subcontractor with this license when repairing or replacing heating and cooling systems.

\*HEP stands for Home Energy Professional. These courses meet the Job Task Analysis (JTA's) for the specific job roles being performed and are accredited by the Interstate Renewable Energy Council (IREC).

\*\*Timeframe allowed for training is reduced when employee is elevated to higher classification. (i.e. Trained Crew Worker promoted to Crew Leader will be given 6 months for additional training. Crew Leader > Energy Auditor will be allowed 9 months for additional training.

\*\*\*OSHA-equivalent training will be approved by DHCD on a case-by-case basis. It is the responsibility of the subgrantee to provide proof of equivalency i.e. certificates, training manuals, syllabi, etc.

Visit <https://www1.eere.energy.gov/wip/guidelines.html> for details.

Currently DHCD utilizes the financial/administrative monitoring to assess the technical assistance needs of the financial and administrative staff and provides that training as needed. DHCD also attends multiple peer exchanges and holds interchanges throughout the year to provide additional training to the network. (See schedule)

Peer Exchanges are held by AECP.  
Interchanges are held by DHCD.

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- June Interchange
- One Peer Exchange (Spring or Fall)

2018

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- June Interchange
- One Peer Exchange (Spring or Fall)

Other meetings are scheduled as needed.

DHCD analyzes the effectiveness of each sub-grantee during all levels of monitoring and looks at the energy savings each year using DOE's energy savings calculation. DHCD uses the monitorings to develop technical assistance needs annually and bases training requirements on that information.

Client education is a part of the curriculum required for all staff members working on jobs.

## **V.9 Energy Crisis and Disaster Plan**

Participation in the LIHEAP CRISIS Program is encouraged. Approximately one-third of the subgrantees currently participate on a regular basis, through contracts or referral networks with Virginia Dept of Social Services.

### Disaster Relief (in accordance with Program Notice 12-7)

The use of DOE WAP funds is limited to eligible weatherization activities and the purchase and delivery of weatherization materials.

### Use of DOE WAP Funds to address disaster related hazards

Allowable expenditures under WAP include the following:

- 1) the cost of incidental repairs to an eligible dwelling unit if such repairs are necessary to make the installation of weatherization materials effective and,
- 2) the cost of eliminating health and safety hazards, elimination of which is necessary before the installation of weatherization materials (10 CFR 440.18(d)(9); 10 CFR 440.18(d)(15)).

To the extent that the services are in support of eligible weatherization (or permissible re-weatherization<sup>1</sup>) work, such expenditure would be allowable. For example, debris removal at a dwelling unit so that the unit can be weatherized would be an allowable cost. Debris removal from a dwelling unit that is not to be weatherized would not be an allowable cost.

Weatherization personnel can be paid from DOE funds to perform functions related to protecting the DOE investment. Such activities include securing weatherization materials, tools, equipment, weatherization vehicles, or protection of local agency weatherization files, records, and the like during the initial phase of the disaster response.

Using DOE funds to pay for weatherization personnel to perform relief work in the community as a result of a disaster is not allowable. Local agencies may use weatherization vehicles and/or equipment to help assist in disaster relief provided the WAP is reimbursed according to the DOE Financial Assistance Regulations 10 CFR Part 600.

In the event of a declared Federal or State disaster, weatherization crews may return to a unit reported as a completion to DOE that has been "damaged by fire, flood or act of God to be re-weatherized, without regard to date of weatherization". 10 CFR 440.18(f)(2)(ii). Local authorities must deem the dwelling unit(s) salvageable as well as habitable and if the damage to the materials is not covered by insurance or other form of compensation.

Reprioritization of weatherization requests coming from the disaster area WAP rules require that priority be given to identifying and providing weatherization assistance to elderly persons, persons with disabilities, families with children, high residential energy users, and households with high energy burdens (10 CFR 440.16(b)). However, it would be permissible to consider in households located in the disaster area, as a priority as long as the households are eligible and meet one of the priorities established in regulation and are free and clear of any insurance claim or other form of compensation resulting from damage incurred from the disaster.